

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

*Receipt*  
*IFW*

APPLICANTS: RAINER ET AL - 2 PCT

SERIAL NO.: 10/578,969

FILED: MAY 11, 2006

TITLE: METHOD FOR BRAKING A SYNCHRONOUS MACHINE

**REQUEST FOR CORRECTED FILING RECEIPT**

**MAIL STOP APPLICATION OIPE**

Hon. Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Dear Sir:

Attached is a copy of the Official Filing Receipt received from the Patent and Trademark Office in the above-identified application, which is in need of correction, as follows:

**Under "Applicant(s)"** the home country of the first inventor is incorrect:

Josef Rainer, Franking, AUSTRALIA

should be corrected to read:

Josef Rainer, Franking, **AUSTRIA**

It is respectfully requested that a corrected filing receipt be issued. As this error was on the part of the PTO, no fee should be associated with this request. However, if there should be a fee the Commissioner is hereby authorized to charge Deposit Account No. 03-2468.

Respectfully submitted,  
Josef RAINER ET AL

*[Signature]*  
Frederick J. Dorchak, Reg.No. 29,298  
Edward R. Freedman, Reg. No. 26,048  
Attorneys for Applicants

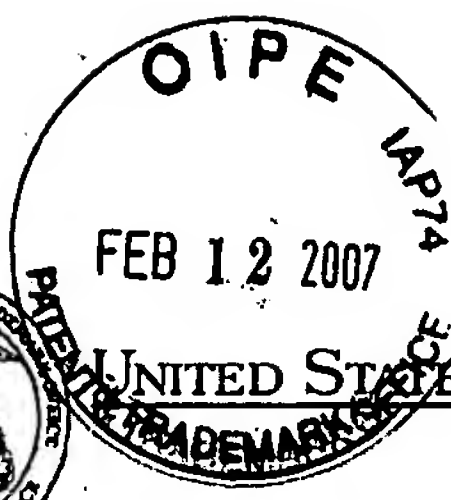
COLLARD & ROE, P.C.  
1077 Northern Boulevard  
Roslyn, New York 11576  
(516) 365-9802  
FJD:rd

Enclosure: copy of Official Filing Receipt and copy of Declaration

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on February 7, 2007.

*[Signature]*  
Kelly Espitia

cpi 1/22/07



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
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 www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/578,969	05/11/2006	2837	900	RAINER ET AL-2 PCT	4	4	1

CONFIRMATION NO. 8657

25889  
 WILLIAM COLLARD  
 COLLARD & ROE, P.C.  
 1077 NORTHERN BOULEVARD  
 ROSLYN, NY 11576

## FILING RECEIPT



\*OC000000022055873\*

Date Mailed: 01/19/2007

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Josef Rainer, Franking, AUSTRALIA;  
 Erwin Bernecker, Hochburg, AUSTRIA;

**Power of Attorney:** The patent practitioners associated with Customer Number 25889.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/AT04/00401 11/12/2004

## Foreign Applications

AUSTRIA 1834/2003 11/14/2003

If Required, Foreign Filing License Granted: 01/18/2007

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/578,969**

Projected Publication Date: 04/26/2007

Non-Publication Request: No

Early Publication Request: No

**Title**

Method for braking a synchronous machine

**Preliminary Class**

318

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
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 Alexandria, Virginia 22313-1450  
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/578,969	Josef Rainer	RAINER ET AL-2 PCT

25889  
 WILLIAM COLLARD  
 COLLARD & ROE, P.C.  
 1077 NORTHERN BOULEVARD  
 ROSLYN, NY 11576

INTERNATIONAL APPLICATION NO.

PCT/AT04/00401

I.A. FILING DATE

PRIORITY DATE

11/12/2004

11/14/2003

CONFIRMATION NO. 8657

371 ACCEPTANCE LETTER



\*OC000000022055874\*

Date Mailed: 01/19/2007

## NOTICE OF ACCEPTANCE OF APPLICATION UNDER 35 U.S.C 371 AND 37 CFR 1.495

The applicant is hereby advised that the United States Patent and Trademark Office in its capacity as a Designated / Elected Office (37 CFR 1.495), has determined that the above identified international application has met the requirements of 35 U.S.C. 371, and is ACCEPTED for national patentability examination in the United States Patent and Trademark Office.

The United States Application Number assigned to the application is shown above and the relevant dates are:

<u>05/11/2006</u>	<u>05/11/2006</u>
DATE OF RECEIPT OF 35 U.S.C. 371(c)(1), (c)(2) and (c)(4) REQUIREMENTS	DATE OF COMPLETION OF ALL 35 U.S.C. 371 REQUIREMENTS

A Filing Receipt (PTO-103X) will be issued for the present application in due course. **THE DATE APPEARING ON THE FILING RECEIPT AS THE " FILING DATE" IS THE DATE ON WHICH THE LAST OF THE 35 U.S.C. 371 (c)(1), (c)(2) and (c)(4) REQUIREMENTS HAS BEEN RECEIVED IN THE OFFICE. THIS DATE IS SHOWN ABOVE.** The filing date of the above identified application is the international filing date of the international application (Article 11(3) and 35 U.S.C. 363). Once the Filing Receipt has been received, send all correspondence to the Group Art Unit designated thereon.

The following items have been received:

- Copy of the International Application filed on 05/11/2006
- Copy of the International Search Report filed on 05/11/2006
- Preliminary Amendments filed on 05/11/2006
- Information Disclosure Statements filed on 05/11/2006
- Oath or Declaration filed on 05/11/2006
- Request for Immediate Examination filed on 05/11/2006
- U.S. Basic National Fees filed on 05/11/2006
- Assignment filed on 05/11/2006
- Priority Documents filed on 05/11/2006
- Specification filed on 05/11/2006
- Claims filed on 05/11/2006

- Abstracts filed on 05/11/2006
- Drawings filed on 05/11/2006

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Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

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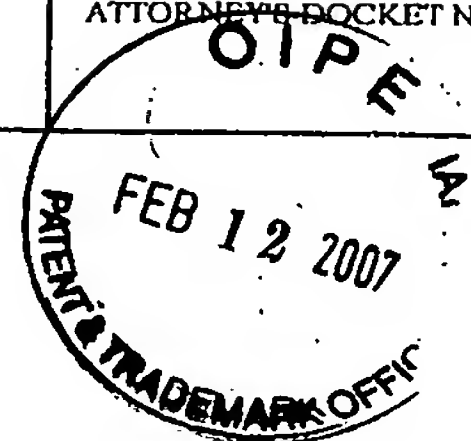
FREDERICK SMITH

Telephone: (703) 308-9140 EXT 210

PART 1 - ATTORNEY/APPLICANT COPY

FORM PCT/DO/EO/903 (371 Acceptance Notice)





As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

A method for braking a synchronous machine

the specification of which (check only one item below):

- ☐ is attached hereto.
- ☐ was filed as United States application  
Serial No. \_\_\_\_\_  
on \_\_\_\_\_,  
and was amended  
on \_\_\_\_\_ (if applicable).
- ☒ was filed as PCT international application  
Number PCT/AT 2004/00401  
on 12 November 2004,  
and was amended under PCT Article 19  
on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

**PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:**

COUNTRY (if PCT, indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119
Austria	A 1834/2003	14 November 2003	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claim of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulation §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

**PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:**

U.S. APPLICATIONS			STATUS (Check One)		
U.S. APPLICATION NUMBER	U.S. FILING DATE		PATENTED	PENDING	ABANDONED
PCT APPLICATIONS DESIGNATING THE U.S.					
PCT APPLICATION NO.	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)			

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (List name and registration numbers):

KURT KELMAN, Registration No. 18,628

ELIZABETH COLLARD RICHTER, Reg. No. 35,103

ALLISON C. COLLARD, Registration No. 22,532;

WILLIAM C. COLLARD, Registration No. 38,411

EDWARD R. FREEDMAN, Registration No. 26,048;

FREDERICK J. DORCHAK, Registration No. 29,298

**Send Correspondence to:**

COLLARD & ROE, P.C.  
1077 Northern Boulevard  
Roslyn, New York 11576

**Direct Telephone Calls to:**  
(name and telephone number)  
(516) 365-9802

201	FULL NAME OF INVENTOR	FAMILY NAME Rainer	FIRST GIVEN NAME Josef	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY Franking	STATE OR FOREIGN COUNTRY Austria	COUNTRY OF CITIZENSHIP Austria
	POST OFFICE ADDRESS	POST OFFICE ADDRESS Holzöster 20	CITY Franking	STATE & ZIP CODE/COUNTRY Austria/ A 5133
202	FULL NAME OF INVENTOR	FAMILY NAME Bernecker	FIRST GIVEN NAME Erwin	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY Hochburg	STATE OR FOREIGN COUNTRY Austria	COUNTRY OF CITIZENSHIP Austria
	POST OFFICE ADDRESS	POST OFFICE ADDRESS Mitterndorf 70	CITY Hochburg	STATE & ZIP CODE/COUNTRY Austria/A 5122
203	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE/COUNTRY

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

SIGNATURE OF INVENTOR 201

SIGNATURE OF INVENTOR 202

SIGNATURE OF INVENTOR 203

DATE

17.03.2006

DATE

27.03.2006

DATE

**BEST AVAILABLE COPY**